

PS 1066.03 PILOT INITIATIVES, APPROVAL AND EVALUATION



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# Change Notice

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DIRECTIVE AFFECTED: 1066.03  
CHANGE NOTICE NUMBER: 1066.03  
DATE: 3/5/99

1. PURPOSE AND SCOPE. To update the Program Statement on **Pilot Initiatives, Approval and Evaluation**.

2. SUMMARY OF CHANGES. This Program Statement is being revised to ensure standard procedures and improve the accountability of pilot projects. The previous Program Statement emphasized the importance of evaluation criteria before initiating a pilot project and assessing its effectiveness after completion. However, it did not indicate where to send this information or state the need for Executive Staff sponsorship of any pilot initiative. As a result, there was no way to determine:

- # how many pilot initiatives were being done;
- # who was aware of them; and
- # what kinds of information were gained from these projects.

The revised Program Statement provides a formal procedure for approving pilot initiatives to enable tracking and assessment of these initiatives.

3. ACTION. File this Change Notice in front of the Program Statement on **Pilot Initiatives, Approval and Evaluation**.

/s/  
Kathleen Hawk Sawyer  
Director



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# Program Statement

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OPI: PRD  
NUMBER: 1066.03  
DATE: 3/5/99  
SUBJECT: Pilot Initiatives,  
Approval and Evaluation

1. PURPOSE AND SCOPE. To provide guidelines and procedures used to approve and evaluate pilot initiatives.

2. PROGRAM OBJECTIVES. The expected results of this program are:

a. Pilot initiatives will be approved and evaluated consistently.

b. Pilot programs will be tracked by the Program Review Division.

3. DIRECTIVES AFFECTED

a. Directive Rescinded

PS 1066.02 Evaluation of Pilot Initiatives (6/23/95)

b. Directives Referenced

PS 1070.05 Research (2/12/97)

PS 1150.04 Office of Security Technology (9/4/96)

4. STANDARDS REFERENCED

a. American Correctional Association 3rd Edition Standards for Adult Correctional Institutions: 3-4105

b. American Correctional Association 3rd Edition Standards for Adult Local Detention Facilities: None

c. American Correctional Association 3rd Edition Standards for Administration of Correctional Agencies: 2-CO-1F-10

d. American Correctional Association Standards for Adult Correctional Boot Camp Programs: 1-ABC-1F-05

## 5. DEFINITIONS

a. Pilot Initiative. Any new program, function, or product used in a limited way to determine if it is suitable for use at additional sites or Bureau-wide.

b. Goal. A statement of the pilot's purpose or intent.

c. Objectives. Measurable parts of the goal which, when achieved, accomplish the desired goal.

d. Performance Measures. Evidence used to determine the progress towards meeting the objectives. These measures can be positive indicators of output, achievements, or beneficial side-effects. Measures can also be negative results or adverse side-effects.

e. Concerns/Issues. Key questions which need to be answered by the evaluation. These questions may relate to concerns raised before or during the pilot. Appropriate questions include: "What major problems surfaced as a result of the pilot?" and "How, if at all, were these problems resolved?"

## 6. APPROVAL

a. Proposed pilot projects shall be reviewed both for the concept and for the implementation and evaluation plan.

A member of the Executive Staff shall review and endorse the concept of a proposed pilot project. This would most likely be the affected Assistant Director if the initiative involves a particular discipline or the affected Regional Director if the initiative involves a particular institution.

In all cases, each involved discipline and region shall be consulted during preparation of the proposal and allowed the opportunity for comment.

The endorsed proposal shall be forwarded to the Senior Deputy Assistant Director (SDAD), Program Review Division (PRD), for review. The SDAD, PRD, shall review the initiative to ensure that the implementation and evaluation plans are adequate to permit an effective project appraisal. If the SDAD, PRD, determines that the proposal warrants further evaluation, he or she shall contact the Director or the full Executive Staff for further input and evaluation.

b. The Pilot Proposal Worksheet (Attachment A) must be completed and approved, prior to the initiation of a pilot program

7. GENERAL EVALUATION. Within 60 days after a pilot program reaches completion, the Pilot Evaluation Summary (Attachment B) must be submitted to the sponsoring Executive Staff member and the SDAD, PRD, for evaluation and comment.

Attachment B must be completed before the any pilot program findings are presented to the Bureau's Executive Staff.

8. RESEARCH. If an independent evaluation or a pilot program requires staff or inmates to participate in interviews or fill out tests, questionnaires, or surveys, the activity may qualify as "research." If any of these conditions exist, the team leader or the person with program oversight is to consult the referenced Program Statements and contact the Research Proposal Section of the Office of Research and Evaluation and the Office of Information Systems for additional approval and/or evaluation standards.

Kathleen Hawk Sawyer  
Director

**PILOT PROPOSAL WORKSHEET**  
**ESTABLISHING EVALUATION CRITERIA**

TITLE OF PILOT PROGRAM:

DATE OF SUBMISSION:

ORIGINATING STAFF/LOCATION:

ANTICIPATED START DATE:

ANTICIPATED COMPLETION DATE:

1. State the goals and list all objectives of this pilot project.
2. List all directives that were reviewed to design this pilot program so that it complies with current policy. Also include a list of subject matter experts and Executive Staff who were consulted during the design of this initiative.
3. Discuss any conflicts that will be encountered between this pilot project and existing policy (including Rules issues which are resolved through the Office of General Counsel). Describe how these conflicts will be resolved.
4. Describe all costs associated with the pilot. If funding or additional positions are needed, provide all cost estimates associated with these and list the number and types of positions that will be needed. Alternatively, if the pilot program will save money or reduce the number of positions, provide estimated cost savings and explain how these will be accomplished.
5. If implemented, required training will involve (please indicate type of training, number of personnel, and anticipated cost):
6. Describe your evaluation design. Will comparisons be made (conditions at pilot institutions compared to non-pilot institutions, conditions before pilot compared to conditions after pilot, etc.). Who will conduct the evaluation?
7. List the performance measures you will use to assess the success or failure of the project to meet its objectives.

8. List relevant concerns and issues in the form of key questions which need to be answered by the end of the pilot.

Consider questions such as:

- a. How might the new program positively or adversely impact other program areas, staff and inmate morale, and the orderly running of the institution?
- b. What positive/negative side-effects might occur?
- c. What obstacles to this program's implementation do you anticipate?

9. Signatures:

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Pilot Program Designer

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Sponsoring Executive Staff Member

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Senior Deputy Assistant Director  
Program Review Division

**PILOT EVALUATION SUMMARY**  
**PILOT ASSESSMENT**

TITLE OF PILOT PROGRAM:

ORIGINATING STAFF/LOCATION:

START DATE:

COMPLETION DATE:

1. Did the goal(s) of this pilot program change from the original intent? If so, please explain.
2. Did any new issues, concerns, or impediments to implementation surface? If so, how were these resolved?
3. Were the objectives of the pilot program accomplished? Cite evidence or data sources that were used to determine whether the objectives were met.
4. Describe all costs associated with the pilot program and note how these compared with initial budget and position requests. Be sure to explain cost overruns or savings that were incurred.
5. Please explain both the advantages and disadvantages related to a broader implementation of this program. Identify areas requiring further evaluation, if applicable.
6. Signatures:

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Pilot Program Designer

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Sponsoring Executive Staff Member

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Senior Deputy Assistant Director  
Program Review Division